
Partnering Handbook

For small and medium-sized contracts and contracts without a formal partnering item



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TOP TEN STEPS FOR EFFECTIVE PARTNERING

1. **Communicate, communicate, communicate.** The essence of Partnering is to communicate on a regular basis with other key players involved in a project. While almost everyone sees the value of such communication and intends to communicate with others, the pressure of meeting deadlines and other responsibilities often interferes. Therefore, it is recommended that specific times be scheduled for discussing job issues to assure that regular communication is taking place.
2. **Trust your partners.** Most people want to do quality work. Trust that the other parties involved in the contract will meet their responsibilities in a quality way. Just because you had a bad experience with someone else in the past doesn't mean that you shouldn't trust the people you are working with on this job.
3. **Expect quality.** The benefits of Partnering should enhance quality for our ultimate customer – the traveling public. Clearly communicate your quality expectations, and be prepared to talk with your partners if those expectations aren't being met.
4. **Determine an issue resolution chain-of-command.** Define the process for solving disputes that gives each layer participant in the process a certain amount of time to seek resolution and moves the issue to the next level if there is no resolution. Specific persons - prime contractor and INDOT - should be named for each level. Elevation of an issue should not be viewed as “going over someone's head” or “going behind someone's back.” Instead, this should be viewed as a normal process.
5. **Seek win-win solutions.** If there is not a clear solution in the contract documents, each partner must work hard to understand the perspective of other affected partners and seek solutions that are fair for all partners. This often requires compromises from all involved. Finding a win-win solution can best be accomplished when the partners have trust and openly communicate. Compromise does not always mean meeting in the middle. Achieving the greatest success for the overall team should be the goal of any compromise, but the compromise should not put any team member in a harmful position. A win-win solution is where both parties get all or most of what they need and their interests have been satisfied.
6. **Listen and question.** The key to understanding the other partners' perspective is to listen closely to what they are saying. If some information is incomplete or doesn't make sense, ask questions until you truly understand what is important about the issue to those partners and how the issue impacts them.

7. **Involve all key partners.** Projects involve far more partners than just the prime contractor and INDOT. When appropriate, involve subcontractors, suppliers, local officials, police, local business, utility companies, and even the news media. Different matters may require the involvement of different partners. All those who are significantly impacted by a matter should be part of the process of determining the solution.
8. **Take ownership in the team's goals.** Be willing to help your partners achieve their goals rather than focusing only on your goals.
9. **Seek help.** Don't think you have to have all the answers at the field level. If an issue arises that is beyond your expertise or could involve a large sum of money, seek the counsel of others who may have additional insight on how an issue can be addressed. Contractor field personnel should look to the home office for help; INDOT's PE/S has a broad network of support including area engineers, the district construction engineer, testing, and central office.
10. **Use this booklet.** This booklet is one source of possible assistance. It provides further tips on having an effective partnering relationship.

PARTNERING GUIDELINES FOR SMALL AND MEDIUM -SIZED CONTRACTS AND CONTRACTS WITHOUT A FORMAL PARTNERING PAY ITEM

Introduction

This guide is written for both INDOT and contractor personnel working at the project level. The intent is to convey INDOT and industry commitment to Partnering and to provide project personnel with the tools to successfully incorporate Partnering into any job.

The idea for a Partnering Handbook originated with the ICA/INDOT Joint Cooperative Committee. Both INDOT and industry Committee members felt there was a need for a handbook to help personnel develop a partnering relationship on those contracts that do not have a partnering requirement and utilize a facilitator. A joint task force developed most of the material for this Handbook.

While the Handbook can be used as a guide on any construction project, *those portions specific to small and medium-sized state highway contracts are shown in italics.*

In addition to information about the partnering process, the Handbook also includes a sample charter and sample evaluation forms.

Partnering will not happen just because you have read this Handbook or because your *supervisor* told you that Partnering was a good idea. You must be committed to the concept and the process. This means working continuously to improve your abilities to partner. Partnering skills can be learned and honed. You can teach others how to make Partnering work.

It takes an open mind to learn new ways of doing things. Being open to learning new skills through training or by listening to your counterparts, even when you adamantly disagree, takes self-control. This guide describes many different tools that you can use – it's your challenge to use them and to keep an open mind while doing so.

Partnering seeks to redirect the attitudes of project personnel from defensive postures to proactive problem solving – not just once but over the course of the entire project.

PARTNERING – WHAT IS IT?

Partnering is simply a way of conducting business in which two or more organizations make long-term commitments to achieve mutual goals. This sometimes requires changing traditional adversarial relationships into team-based relationships. Partnering promotes open communication, trust, understanding, and teamwork among participants.

The partnering process has been used, successfully in most cases, by INDOT since the mid-1990s on selected large or complex construction projects. Partnering offers an opportunity to create positive working relationships and resolve issues in a timely, cost-effective manner **before** they become problems.

The principles of Partnering are simple: participants must believe that each team member is honest and has intentions of doing a good job and that an effective team begins with respect and results in win-win relationships. The benefits make it worth the effort.

Partnering has even been an essential component that enabled some INDOT contracts to earn national recognition for outstanding quality and innovation.

The components of Partnering can be adapted for any contract. **Please keep in mind that these are only guidelines and the personnel on each job need to determine which aspects are appropriate for their project.**

This guide provides a brief description of partnering concepts and processes. If you are ever in doubt as to what to do, please ask your manager. Remember, you can't partner if you don't understand what Partnering is. It's up to you to make Partnering the accepted way of doing business.

Partnering typically includes the following features:

- Learning about the other partners on the team.
- Establishing Team Goals (or a Charter) and awareness and respect for each other's goals and values.
- Opening communication to enable win-win relationships. Partners seek input from each other in an effort to find better solutions to the problems and issues at hand.
- Setting dates for regular meetings.
- Formalizing a chain-of-command for both the contractor and the owner.
- Developing trust and open communications between all participants.

- Resolving issues promptly at the lowest possible level.

The keys to success in Partnering include:

- Allocating time to establish positive attitudes and rapport.
- Establishing specific, common objectives to help maintain focus.
- Developing specific processes to measure the progress of the team.
- Ensuring team members understand the value of the partnering process.
- Enlisting leadership involvement throughout the organization. The partnering process must have an executive-level champion, who sets the tone and keeps the focus on the mission.

If both sides work to do what is in the best interest of the project, both sides' interests will usually be satisfied, and everyone will walk away with a sense of accomplishment. These concepts being fair and doing what is best for the project are basic guidelines for partnering success, and although they may be basic and simple, they are sometimes very difficult. It takes discipline and perseverance to keep these two principles in mind particularly in the heat of conflict, but it will pay off. The persons involved need to be dedicated to keeping the process working smoothly.

The Role of the PE/S and Contractor Superintendent

Working together, the PE/S and contractor superintendent must decide how to lead the partnering effort on each project. They should have clear objectives in mind as to what they want to accomplish through Partnering. The behavior of the PE/S and contractor superintendent should model the values described below, and each should demonstrate to all project stakeholders their commitment to the implied warranty of good faith and fair dealing contained within the contract.

Partnering Values

What we value, we do. Each project has its own culture, norms, or "way of doing business." The following is a list of partnering values and attributes of the way we want to do business as partners. The role of the PE/S and contractor superintendent is to instill these values into the project and to **identify and overcome** any barriers that interfere with their achievement.

- Fairness
- Cooperation
- Trust
- Open and Honest Communication
- Teamwork
- Joint Problem Solving
- Efforts for Mutual Gain
- Rapid Dispute Resolution at the Field Level

Workshop/Charter

The first step in a formalized partnering process is a partnering workshop in which team members:

- establish a common mission statement, team objectives, and guidelines;
- define issue resolution and problem escalation processes specific to that team; and
- create an evaluation process to ensure continuous improvement.

A facilitator is often used to keep the workshop participants on track and provide insight on how Partnering can work. **A facilitator is not essential; however, the state and contractor management on the job can lead this process.**

The development of a Team Charter during the workshop enables all parties to focus on cooperation, communication, and commitment. A Charter is a listing of mutual goals for the contract. While the contract itself defines the responsibilities of each party, the Charter provides a document in which all parties can share their goals for the contract. The Charter is not a legal document. Rather, it is a personal commitment of the participants that they will work for the success of the project.

The goals of the Charter should be mutually agreeable to all major stakeholders. This requires each party to understand the objectives of the other parties, open discussion about those objectives, and provide some “give and take” to assure that the major stakeholders are in agreement. The Charter elements are often very similar from one project to another, since workers on different projects are likely to share objectives for:

- completing the project in a timely manner;
- minimizing disturbances for motorists;
- avoiding and/or preventing accidents;
- performing quality construction; and
- earning a profit.

However, the specific targets can rightly vary from job to job.

Handling the Workshop and Charter for the Small and Medium-Sized Job

Soon after the contract award, the INDOT PE/S and contractor superintendent should discuss how to implement Partnering on the project. Both individuals should be supportive of Partnering. Without their leadership, Partnering will not work and should not be considered any further.

A separate workshop is not always necessary. For small and medium-sized jobs, it may be just as appropriate to add a couple hours to the pre-construction conference for the partnering

workshop. The pre-construction meeting is the logical place to introduce and initiate all parties involved in the project with these useful tools and techniques. A specific time should be set for the partnering portion of the meeting, so those persons who don't need to participate in the normal pre-construction meeting know the hours they will need to attend.

While there are benefits to a neutral facilitator, it is not always possible or economical to hire a facilitator. The PE/S and contractor superintendent should determine in advance how the partnering session will be conducted and what the agenda will be. The PE/S and contractor superintendent should sit down together and develop a list of who needs to attend the partnering workshop. A notice or invitation should be sent out two to four weeks in advance of the workshop. Both the PE/S and contractor superintendent should sign the invitation. Persons who are not familiar with the details of making Partnering work should consult others within their organization.

A Partnering Charter or Partnering Goals Statement is an important part of the process, because it provides mutually agreed upon goals for the contract. These goals are the foundation for the partnering relationship. You can start with a blank piece of paper when developing these goals, use the outline provided with this packet, or develop your own outline. There are no magical formulas for developing these goals. How the partners on a contract proceed to develop the Charter is up to that team. What is important is that all partners have a sense of ownership and responsibility for the goals that are set. The whole team must be comfortable with each proposed specific goal, or it should not be added to the list. All participants should sign the Charter.

The factors addressed by a Charter can vary but often include safety, quality, schedule, utilities, cost control, traffic control, community relations, payments, environmental protection, and the partnering relationships (communication, meetings, teamwork, problem solving, etc.).

These mutual goals should be taken seriously, and all parties should work to accomplish all of the set goals not just the goals that were suggested by that organization.

While time may be limited, it is still a good idea to devote some time to getting to know the other people on the project team. This can easily be done by pairing off with a person from another organization, giving them a few minutes to introduce themselves to each other, and then having one person introduce the other person to the entire group. Feel free to be creative in handling this process.

Communication

Improved communication is the lifeblood of Partnering. The heart that makes this system work is trust. Partnering encourages open, honest communication between the members of the team. This, in turn, breeds trust. A key component is to have an agreed upon meeting time to discuss issues relative to the project. A portion of this meeting should also be devoted to evaluating the partnering effort. This evaluation can help focus attention on those areas that need attention from one or more partners.

Good communication means that there are no surprises on your project. It protects against one day opening a letter to find that someone is upset about something of which you have never heard. The project team should commit to not writing letters without talking to each other first. Talking first gives everyone an opportunity to make sure they understand the issue(s) and to try

to resolve them before positions are put in writing. If you do end up putting your position in writing, the recipient should know about the impending arrival of the letter and its contents.

Experts say that 75-80% of good communication is listening so, if you want to improve your project's communication, **listen, listen, listen.**

Personality conflicts can get in the way of communications and can disrupt your project. Each person on the project brings a unique personality, and some accommodation should be made for these differences. Egos and personalities are present on every project; however, project issues should remain project issues and not become personal issues.

Periodic Meetings

A weekly (or regular) project meeting can be one of your best partnering tools. Good communications and planning are critical to a successful project. A well-planned and well-run weekly progress meeting provides the team with an opportunity to address issues, concerns, and ideas on a regular basis. A regular project meeting can help everyone working on the job understand the schedule, coordinate work, identify and resolve issues, and plan the week ahead.

A good meeting has the following attributes:

- **It starts on time** – A project meeting should always start on time; this will train everyone to be on time. If you get in the habit of starting 10 or 15 minutes late, many people will arrive 10 or 15 minutes late, which penalizes those who arrive on time.
- **It ends on time** – There should be a set amount of time allotted for the meeting. Any issues not discussed or resolved are held over to the next meeting or addressed outside of the meeting.
- **There is an agenda** – The PE/S and contractor superintendent should put the agenda together prior to the meeting. The agenda should include any issues from subcontractors and suppliers. The agenda, while fixed, should have enough flexibility to discuss new issues as they occur. A good agenda covers the schedule (what work is planned and how the team will accomplish it over the week(s) to come), unresolved or outstanding issues (so they can be resolved or elevated up the dispute resolution ladder), and new issues which need resolution.
- **A record is made of agreements and outstanding issues (minutes)** – Some type of meeting minutes are required so that everyone knows what was agreed to and what remains unresolved. Taking minutes is best done as a shared effort with responsibility alternating between INDOT and the contractor. Minutes do not need to be formal. Just be sure to record agreements and outstanding issues. The minutes do need to be distributed to the entire project team. Consider using email for distribution.
- **The people needed for discussion and to make decisions are present** – In order to have an effective meeting, the people affected by the meeting must be present. It is frustrating to everyone if the people involved in an issue under discussion are not there. The PE/S and contractor superintendent need to make sure the appropriate people are aware of the meeting and plan to attend.

- Attention is on the meeting, not elsewhere – Interruptions from pagers and cell phones distract everyone, make the meeting drag on, and prevent everyone from hearing the discussion.

Handling Meetings for the Small and Medium-Sized Job

The INDOT PE/S and contractor superintendent should determine a set time to meet. Meetings should be held on a regular basis, while additional meetings can be scheduled if a need arises. Depending on the nature of the job, this can be done on a daily or weekly basis. On some jobs, meeting at the beginning of each significant operation or phase may be appropriate. The length of the meeting should be based on the needs of the partners. It can vary from ten minutes to several hours. These meetings are usually best accomplished on the jobsite.

At a minimum, you should review the contract schedule and evaluate your partnering efforts. The INDOT PE/S and contractor superintendent may want to alternate responsibility for the meeting. This would involve setting an agenda, informing others about the agenda, determining who should participate, and conducting the meeting. Meetings should be kept informal but remain business-like.

The agenda should provide a guide to determine who needs to participate. All participants should be given adequate notice of an upcoming meeting and provided with an agenda in advance. Seek out issues during each regular meeting and ask for individual input.

An outside facilitator can assist if the parties involved need help overcoming some communication barriers. Since the contract does not have a partnering pay item, the use of a facilitator on a small or medium-sized project would normally have to be at the contractor's expense. However, if the PE/S feels that this should be a shared expense, he or she should discuss this with the area engineer.

Chain of Command

Partnering does not eliminate disputes. The nature of construction is that unforeseen issues will arise in the field and need to be handled by those responsible for the project. Having a clearly identified chain-of-command for escalating disputes provides a framework without offending persons at the lower level. The success of this process is dependent on the level of trust that the partners have developed for each other. While the partners at the original level should make every effort to find win-win solutions, this is not always possible. Some issues may involve financial impacts that are beyond the authority level of one or more of the partners. Other issues may need the involvement of technical experts.

Elevate Together:

Elevation is not a sign of failure. Identify the issue and elevate it if a resolution cannot be achieved. Inaction is not an alternative. When elevating, document what the issue is and give a status review for the next level to consider. The documentation can be as simple as a "speedy memo" addressed to the next level explaining the problem and identifying the points of disagreement. The issue should be transmitted jointly by those involved from one level to the next to eventual resolution. Assure that resolution information is filtered back to all those previously involved in the resolution ladder, and include the rationale

for the eventual resolution. Assure that both the technical issues and their fiscal impacts are resolved at the same time.

The escalation ladder – or Issue Resolution System – should state the time that persons at any level have to resolve the issue. Since not all issues are of the same importance, it may be advisable to have one system for critical issues and a second process for other issues. Once an issue is elevated, it is incumbent for persons at the next level to meet as soon as possible to try and negotiate a resolution.

Handling Issue Resolution for the Small and Medium-Sized Job

How differences of opinion are handled can be the true test of your partnering process. How the parties handle disputes will either build trust or destroy it. The right approach is to put an issue on the table as soon as possible. Either side can raise an issue. All affected parties should have an opportunity to explain how they are impacted and to suggest acceptable solutions. Each partner should try to understand the views of the others and seek ways to bring about a win-win solution. Make sure all essential parties such as subcontractors are involved in the discussions.

Given the complexities of projects, it is natural and expected that there will be disputes. What is unacceptable is to ignore a dispute. When a dispute continues for some period of time without any movement toward resolution, you are at an impasse. When at an impasse, people are usually entrenched in their positions and want to WIN, or at least prove that they are right and that the other person is wrong. The dispute resolution ladder is designed to keep you from reaching an impasse. Let the process work for you; it will preserve relationships and resolve disputes in a timely manner.

Another problem encounter when the sides get focused on winning is that they often don't take the time to really understand the problem – they make assumptions. Frequently, the assumptions turn out to be only partially correct. Here are some steps to take to avoid being trapped in this cycle:

- Seek to understand the problem – Ask probing questions to try to flush out all aspects of the problem, no matter how angry or hostile the other parties seem. Don't become defensive; you are trying to understand the problem and the assumptions of the other stakeholders. This will give you a clearer picture of what the real issues are.
- Don't make it personal – Take an objective point of view – don't become engaged in the battle. Take the role of negotiator or fact finder. Remember, it's a project issue, and your success will depend on your ability to not take things personally.
- Don't seek to blame – Instead of blame, seek solutions and understanding. People generally act logically. Your job is to find the logic behind their actions. No project problem was ever solved by blaming someone. Remember, you are all in the project together – you will succeed or fail together.
- Agree on the problem – Work to gain agreement on what the problem is before you attempt to find solutions. If you don't agree on what the problem is, you can not agree on a solution.

The various levels of authority should be clearly understood when the escalation ladder is established.

If time allows, the persons at the project level should freely seek input from others that may have expertise on the subject and be able to offer guidance. You may also want to try role reversal in order to better understand the other party's perspective. Another possible approach is to brainstorm possible solutions without initially evaluating those solutions. Focus on the issues and avoid taking things personally. This is not a test of wills or a score-keeping exercise. Avoid blame.

Look at what is common between the parties and what variances exist. If you can find a commonality, it dissipates the negative energy. By listing the differences, you can think about and work on solutions to those differences.

Time may be an important factor. The Issue Resolution Process determined at the beginning of the job should give the partners at each level a set amount of time to resolve an issue. The amount of time can be hours or days. Mutually agreed upon timeframes should be established. The time pledges committed to during the initial meeting should be honored. While developing time pledges, consider the impact that the issue will have on the project and then agree upon a time limit which reflects the urgency. Issues involving lost time, public safety, and monetary impact must be dealt with quickly. A key is resolving issues before they impact cost or time. The time available to resolve an issue, before the cost or schedule is impacted, should be determined as the issue is identified.

Individuals should make decisions that are within their expertise and comfort level. If you don't feel comfortable with the decision you're being asked to make, escalate it. However, before escalation, issues should be fully defined at the project level.

The Role of Others in the Partnering Process

A highway construction project normally involves many more partners than just the prime contractor and INDOT. Subcontractors, suppliers, the local government, local businesses, motorists, residents, environmental agencies, and possibly others all have a stake in the success of the project. These partners should be involved in partnering activities at those times where their interests are vital to the construction progress. For law enforcement, this could be right before any lane restrictions or major phase changes. For local businesses, this could be at those times when access to their facilities may be disrupted.

Determining when to involve subcontractors can be more complicated. Those with significant roles on the project should probably be involved in the initial partnering meeting and any subsequent meeting when work on their items is critical to the progress on the job. Those subcontractors with only limited involvement on the contract may not need to be involved at all or just at the meeting immediately prior to their work on the project.

The prime contractor may want to discuss with each of its subcontractors the role that they want to take in partnering meetings. Keep in mind that subcontractors are often involved in many contracts and may not have the resources to participate in partnering meetings for all of these contracts.

The PE/S should also consider which Department personnel need to be involved. Those personnel who will be working regularly on the contract should certainly be involved in the initial meeting. Others should be involved based on their role at a specific time. Persons from the District office probably don't need to be involved for most meetings. However, there may be times when participation by an area engineer would be appropriate. One such situation would be if the PE/S anticipates that an issue will be discussed which will eventually need the area engineer's approval.

PARTNERING BOOKLET EXCERPT

Norman C. Anderson, P.E.
Chief Construction Engineer
Washington State Department of Transportation
November 1992

Note: These excerpts are paraphrased from Mr. Anderson's booklet "Managing Conflict on Construction Contracts (Partnering)".

There are two parts to every contract. The first part, the written contract, establishes the legal requirements of each party. The second part, the working relationship, describes how the parties communicate with each other, how they resolve disputes, and how they execute the contract to fulfill the needs of each party.

Traditionally, we have applied most of our effort to the written contract. This effort is applied to the preparation or study of the contract. However, little effort is applied to preparing for the working relationship. We have taken our chances and hoped for the best. We allowed the written contract and the law to resolve any relationship difficulties.

Partnering puts new emphasis on the working relationship. Through Partnering, we seek to improve our efficiency in achieving the goals described in the written contract by increasing the effectiveness of our working relationships.

Partnering is a difficult concept to define. However, it should not be construed as a legal partnership with the associated joint liabilities. Instead, Partnering refers to a broad spectrum of activities and informal working agreements that enhance and maintain cooperative relationships.

Partnering in public works contracting involves a commitment by the top management of the agency to an attitude of cooperation with the contracting industry. **It is a commitment by the public agency** to treat contractors fairly as opposed to the traditional culture of placing all risk and liability on the contractor. **It is also a commitment by the contractor** to a relationship of fairness and openness with the contracting agency. It requires accepting one's own mistakes and refraining from exploitation of the other's mistakes.

Partnering is a relationship between organizations where:

- All parties seek win-win solutions to problems rather than solutions that favor one side. More important, however, is that the parties seek win-win processes for working together over the lifetime of the relationship even when the resolution of a single problem may not appear to be win-win.
- Value is placed on the relationship. The parties recognize the interdependence of those involved in the relationship.

- Trust and openness are a normal part of the relationship. The sharing of ideas and problems without fear of reprisal or exploitation promotes the fair and rapid resolution of problems and the improvement of operational efficiency.
- An environment for cost savings and profitability exists. A reduction in cost or increased profitability by the other party is recognized as healthy for the relationship.
- All understand that no one benefits from the exploitation of the other party. The short-term gains from taking advantage of the other party are more than lost when the benefits of a healthy long-term relationship are considered.
- Innovation is encouraged.
- Each party is aware of the needs and concerns of the other parties. A party does not take any action without considering who is affected and how they are affected. Any action that may have a detrimental effect on another party is reconsidered and discussed with them before proceeding. Value is placed on assisting the other party in achieving their objectives. (Emphasis added.)
- Each individual adds value to the group. Individuals are encouraged to contribute to any part of the relationship, even though it may be outside their traditional role.
- Overall performance is improved. Each party is concerned with the performance of the entire group. Gains for one party are not at the cost of the overall performance of the team.

Partnering is **not**:

- A quick fix to traditional adversarial relationships. Changes in attitude and culture take years. Partnering should be a long-term program for change from a “concern of only oneself” to a “concern for all parties” involved in the relationship.
- A guarantee of profit. Projects that are bid improperly, or where organizational inefficiency hampers effectiveness, will still produce losses. Risks that are assigned to one party by the contract remain with that party.
- A substitute for good plans, processes or well-trained employees. Effectiveness will still be relative to the quality of the tools brought to the partnership.
- An unethical way of doing business. All activities are conducted within the terms of the written contract and within the law. The relationship is conducted to the highest professional standards and with total integrity.
- A substitute for the terms of the written contract. The obligations of the written contract are still binding on each of the parties.
- A project level workshop only. Partnering involves the commitment of the entire group. Partnering starts with the CEO and is the primary responsibility of management. Cultural change takes place only when it is fully supported by management. Partnering will not survive in one unit of a company if Partnering isn't ingrained by company philosophy.

Public works contracts are traditionally bound by processes that assure the prudent expenditure of public funds, often at the cost of efficiency and innovation. Regulations and rules promulgated by legislative and regulatory action to assure accountability of the public agency have set a tone for adversarial relationships between the contracting agency and the contractor. The public agency is interested in strict adherence to the contract. Changes to the contract are often perceived as opportunities for the contractor to exploit the public. The contractor often perceives the public agency as inefficient bureaucrats interested only in preserving their job and making sure the contractor doesn't make a profit at public expense.

Public agencies must maintain accountability and must have procedures that assure proper expenditures of public funds. However, Partnering recognizes the needs of all parties in the relationship. The contractor's recognition of the needs of the public agency will reduce the frictional costs of providing for that accountability. The partnership will allow the agency and the contractor to jointly develop more efficient accountability processes.

The contractor's opportunity for profit will increase with the public agency's recognition of the contractor's need to be efficient, competitive and earn a fair profit. The public agency's recognition of these needs will move the public agency to change processes to allow the contractor to operate more efficiently and competitively. This will increase the contractor's opportunity to profit while reducing the cost to the public agency.

The change achieved through Partnering will go through several phases before it reaches an ultimate goal of collaboration. These phases of change will be:

Adversarial Attitude

Cooperative Attitude

Recognition of Needs

Cooperation

Collaboration

The new levels of trust and respect between public agencies and their contractors are improving efficiency and job satisfaction. The change is refreshing!

PARTNERING GOALS STATEMENT

MISSION STATEMENT

We the partnering team on INDOT project _____, located at _____, are committed to working together to establish a relationship of trust, cooperation and respect, and to complete a quality project in a safe, cost effective and timely manner with a minimum of inconvenience to the traveling public.

COMMUNICATIONS OBJECTIVES

Communicate in a manner that _____
Treat all partners _____
Keep the public informed by _____
Hold scheduling meetings _____
Provide updated schedules to _____
Maintain enthusiasm _____
Make decisions _____
Make timely submittals and approvals _____

PERFORMANCE OBJECTIVES

Safety of workers will be _____
Safety for the traveling public will be _____
Materials testing will be _____
Failed materials will be _____
The work atmosphere will be _____
Jobsite decisions will be made _____
Estimates will be submitted _____
Standards and specifications will be _____
Payments to partners will be made _____
The project will be completed _____
The project will be closed out _____

ISSUE RESOLUTION SYSTEM

Step 1	_____	&	_____	_____	hours
Step 2	_____	&	_____	_____	hours
Step 3	_____	&	_____	_____	hours
Step 4	_____	&	_____	_____	hours
Step 5	_____	&	_____	_____	days
Step 6	_____	&	_____	_____	days

IMPLEMENTATION

The partnering meetings will be held at _____ on the _____ of the month at _____ a.m./p.m. The facilitating order will be _____.

EVALUATION

At the regular partnering meeting _____ Partnering Rating Form

At the project close-out _____ Project Partnering Evaluation

PARTNERING GOALS STATEMENT – SAMPLE

MISSION STATEMENT

We the partnering team on INDOT project, R-23489 located at I-69 in Grant County are committed to working together to establish a relationship of trust, cooperation and respect, and to complete a quality project in a safe, cost effective and timely manner with a minimum of inconvenience to the traveling public.

COMMUNICATIONS OBJECTIVES

Communicate in a manner that keeps all parties informed and allows quick resolution of issues.
Treat all partners with respect and as equals.
Keep the public informed by giving the local media a weekly update on progress.
Hold scheduling meetings every Monday morning at 8:00 a.m.
Provide updated schedules to the Project Engineer and all subs within one day.
Maintain enthusiasm by striving for perfection.
Make decisions as quickly as possible after input from all affected parties.
Make timely submittals and approvals in compliance with specifications.

PERFORMANCE OBJECTIVES

Safety of workers will be stressed at every opportunity. No lost workday accidents.
Safety for the traveling public will be assured by maintaining traffic control devices.
Materials testing will be performed promptly and results communicated immediately.
Failed materials will be non-existent on this contract.
The work atmosphere will be friendly, professional, and fun
Jobsite decisions will be made at the lowest possible level.
Estimates will be submitted on the 1st and 15th of every month provided weigh tickets are promptly submitted.
Standards and specifications will be followed unless change orders are approved
Payments to partners will be made within 10 business days of the prime receiving payment.
The project will be completed two weeks before the completion date shown in the contract.
The project will be closed out within 60 days of acceptance

ISSUE RESOLUTION SYSTEM

Step 1	<u>Superintendent</u>	<u>&</u>	<u>Project Engineer</u>	<u>4</u>	<u>hours</u>
Step 2	<u>Superintendent</u>	<u>&</u>	<u>District Area Engineer</u>	<u>12</u>	<u>hours</u>
Step 3	<u>Road Projects Manager</u>	<u>&</u>	<u>District Construction Director</u>	<u>24</u>	<u>hours</u>
Step 4	<u>Vice President</u>	<u>&</u>	<u>State Construction Engineer</u>	<u>48</u>	<u>hours</u>
Step 5	<u>President</u>	<u>&</u>	<u>Director, Construction Management</u>	<u>5</u>	<u>days</u>
Step 6	<u></u>	<u>&</u>	<u>Director, Construction Management</u>	<u></u>	<u>days</u>

IMPLEMENTATION

The partnering meetings will be held at field office on the 1st Wednesday of the month at 1:00 a.m./p.m. The facilitating order will be contractor, INDOT.

EVALUATION

At the regular partnering meeting _____ Partnering Rating Form

At the project close-out _____ Project Partnering Evaluation

PARTNERING SELF-EVALUATION RATING FORM

	Low	Average	Excellent	Comments
Safety				
Job Progress				
Quality				
Communication				
Trust/Confidence				
Teamwork				
Issue Resolution				
Contract Admin.				
Value Engineering				
Public Awareness				

Overall Ranking: _____

Observations and Suggestions for Improvement:

Date: _____ Signature: _____

PROJECT PARTNERING EVALUATION

Contract: _____ District: _____

PE/S: _____ Contractor: _____

Check applicable box below:

- | | | | |
|----------------------------------------------|-----------------------------------------------|-----------------------------------------------------|----------------------------------|
| <input type="checkbox"/> Bridge Rehab | <input type="checkbox"/> Interstate Rehab | <input type="checkbox"/> Interstate Resurfacing | <input type="checkbox"/> Traffic |
| <input type="checkbox"/> Bridge Construction | <input type="checkbox"/> Non-Interstate Rehab | <input type="checkbox"/> Non-Interstate Resurfacing | |

Date work started: _____ Date completed: _____

1. a. Have you or key members of your organization who were directly involved in this project been involved previously on a partnered project? ☐ Yes ☐ No
- b. If yes, was this experience beneficial on this job? ☐ Yes ☐ No

Please explain: _____

2. a. Number of Change Orders: _____

b. Total amount of all Change Orders: \$ _____

c. Satisfaction with Change Order review/approval process: (circle most appropriate answer)

Highly Satisfied

Highly Dissatisfied

+3 +2 +1 0 -1 -2 -3

3. Check appropriate box and show date or number of days:

<i>Plan</i>	<i>Days Added/Deleted by Change Orders</i>	<i>Actual</i>
<input type="checkbox"/> Calendar Completion Date	_____	_____
<input type="checkbox"/> Work Days	_____	_____
<input type="checkbox"/> Calendar Days	_____	_____
<input type="checkbox"/> Days Traffic Restricted	_____	_____

4. Partnering _____ the project completion. (circle one)
- accelerated* *delayed* *did not impact*
5. Number of third-party claims (filed by motorists or others not directly involved in contract):
 _____ To be answered by the prime contractor.
6. Communication on this project was _____ by Partnering. (circle one)
- enhanced* *hindered* *unaffected*
7. a. Number of failed material penalties assessed:
- b. Satisfaction with rideability of completed project: _____ (circle most appropriate answer)
- Highly Satisfied* *Highly Dissatisfied*
- +3 +2 +1 0 -1 -2 -3
- c. Satisfaction with overall project quality: (circle most appropriate answer)
- Highly Satisfied* *Highly Dissatisfied*
- +3 +2 +1 0 -1 -2 -3
8. a. Communication between the parties on this project has been open and free-flowing. (circle most appropriate answer)
- Strongly Agree* *Strongly Disagree*
- +3 +2 +1 0 -1 -2 -3
- b. When issues were raised, people did what they said they would. (circle most appropriate answer)
- Strongly Agree* *Strongly Disagree*
- +3 +2 +1 0 -1 -2 -3
- c. Overall quality of relationships between parties: (circle most appropriate answer)
- Excellent* *Poor*
- +3 +2 +1 0 -1 -2 -3
9. Number of lost-time accidents per 1,000 manhours on the job:

- a. Prime Contractor: _____
- b. All Subcontractors: _____
- c. INDOT: _____

10. Were accidents on the job _____ because of Partnering (circle one)

increased *decreased* *unaffected*

Form completed by: _____

Check applicable box: ☐ *Field Level Management* ☐ *District or Home Office Management*

Firm: _____

Date: _____

(Attach extra pages for additional comments)
Return completed form to:

Company Name
Street
City, State, Zip Code
Fax Number